

1st Request for Clarification	Section No.	P g #	Text of Passage	Question	Response
1	Section 2 - E	7	The Offeror system must allows users to record and track complaints,	Record Complaints: Record Comments - is this equivalent to online filing of complaints?	YES, with the ability to check on status. Also include those rec'd by phone
2	Section 2 - I	8	Digi Sign Processing: State of Delaware Statute	Can we get this elaborated?	System must support digital signatures complaint with Delaware Laws
3	Section 2 - J	8	Tariff management must include automatic insert of revised pages into tariff and tracking of history of changes	Automatic Insertion and Revision: Are both Insertions and Deletions required? Is the PSC looking for page level history or document level history	Both insertions and deletions with the deleted pages retained so that a page by page history can be recreated.
4	Section 2 - K	9	E-payment processing must integrate with State approved solution (currently using Govolution).	Interface with Govolution: What will be the Interface mechanism for accessing Govolution? Is there any Collaboration required with 3rd party payment portals? Can you share the platform details and API's available ?	API's will be made available once the RFP has been awarded and non-disclosures have been signed.
5	Section 2- D	6	Interfaces with social networking sites	1. Interface with which all sites is required? 2. What is the data that needs to be interchanged?	PSC currently is on Twitter and Facebook. PSC needs the ability to check a box for every document that is filed as to whether it should be linked to Twitter and Facebook.
6	Section 2- W	2 7	Average Size	What is unit of size? Is it team size during the project execution or during support?	Average size of the other customer utilizing this software
7	Section 2- W	2 9	Portable Device support ( Tablets, Smart Phones	Can it be assumed that application access will be provided through mobile browser? If not, can requirement be elaborated more? Is there any specific feature or function of proposed	Application access through browser

				application expected to support on Smart phone?	
8	Section 2- W	40	System should able to integrate legacy cases.	Our understanding of data migration is to convert all existing cases to the format of new system. Is there any plan to continue with legacy system once new system goes into production?	PSC plans to migrate only a handful of the current documents and input only current/new documents into the new application.  The Legacy systems will be locked down to read-only and used for reference.
9	Section 2- W	40	System should maintain synchronization with hardcopy documents or manual process	Can requirement be elaborated more?	System must support version control
10	Section 2- N	15	Data retention	Is there any policy followed for Data retention?	Yes, PSC has a records retention policy that will be disclosed with award and signed non-disclosure agreement (NDA).
11	Section 2- O	15	User Sizing	What are current users sizing?	30-40 internal State users
12	Section 2- O	15	Desktop Application	What all are the Desktop Application running in your PSC?	State uses Microsoft Office suite
13	Section 2- O	15	Existing Application	Does the existing applications are web based?	No
14	Section 2- O	15	Application Management	How Application currently is managed in your PSC?	Manually by IT Staff
15	Section 2- O	15	Technical Environment	What is the technical environment (Platform, Language) of the current legacy applications being used in PSC?	MS SQL, Access, Excel, Word

16	Section 2- O	1 5	Data Volume	What is the volume of data currently housed in Each legacy application?	E-Z file and the docket database are the largest and I have no idea how to quantify that.
17	Section 2- O	1 5	Integration of the existing application	Does it require integrating the existing application with new application?	NO
18	Section 2- O	1 5	Database for Current application	What are the databases used for current legacy application? Versions would help.	MS SQL 2003
19	Section 2- O	1 5	Hardware Architecture	What is the base hardware Architecture available in server (32Bit or 64Bit) for standard hardware	32Bit
20	Section 2- O	1 5	Server Environment	Does your organization use Domain Environment? If Yes - then What is the Base OS for Domain Server (window 2000,Windows 2003 or Windows 2008)	Windows 2008
21	Section 2- O	1 5	Client Environment	What are the Base Operating System? (i.e. WinXP, Vista or Windows7)	WinXP currently - future upgrade to Windows7
22	ii O 1	1 5	Number of users for the proposed application?	What is expected total number of users for the proposed application? Break up - of Internal and External users would help.	Internal 40 users, external 5K (utilities/vendors), external DE citizens < 1 million.
23	Section 2- Q	1 7	PSC Locations	How many number of Locations of PSC?	1- Dover Office
24	Section 2- Q	1 7	Current Connectivity Bandwidth	What is the current Connectivity Bandwidth Size (Internet, MPLS) at PSC locations?	10MPS
25	Section 2- Q	1 7	Network Support	Who supports your external network?	Department of Technology and Information, central IT for State.
26	Section 2- Q	1 7	Firewall	Have you set up a firewall on your network? Can you indicate nature of firewall, hardware based or software? Which brand?	Managed by DTI req NDA.

27	Section 2- Q	1 7	Connectivity through dial-up access, dedicated line or DSL/cable	Can your technology be connected to from outside the firewall? This can include dial-up access, dedicated line or DSL/cable.	Yes, with proper security (SSL-VPN).
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### Generic Questions

Q1. What is the technical environment (Platform, Language) of the current legacy applications being used in PSC?	MS SQL, Access, Excel, Word
Q2. Will it be possible to share current infrastructure (H/W, S/W & Networking) details, deployment diagram, about existing application?	Yes, once contract awarded and NDA.
Q3. What is the volume of data currently housed in each legacy application?	See Above
Q4. How many cases are opened in last year?	562 cases in 2009
Q7. How many tariff cases are opened in last year? What would be possible range of pages in a Tariff document?	About 10 tariff cases; <a href="http://www.delmarva.com">www.delmarva.com</a> --you should see the Delaware electric tariff--probably the most complicated tariff we handle.
Q9. How many complaints are received in last year?	1300 in 2010
Q10. What is expected total number of users for the proposed application?	Internal 40 users, external 5K (utilities/vendors), external DE citizens < 1 million.
Q11. Request you to please share the Table of Contents if PSC expects us to respond in a particular way.	I will send out a WORD version of the SCOPE OF WORK Checklist upon request.
Q12. In order to respond effectively to RFP requirements and Q&A release date (12th Aug), we are scheduled for only 5 working days between Aug 12th and Aug 19th (considering printing of proposal), this leaves us with little room to accommodate answers to all important questions in solution designing and proposal response. The opportunity requires detailed solution planning, we would appreciate 2 week time of proposal submission extension.	No problem, we will extend 8/29/11
Q13. Would PSC be open to answering questions arising out of Q&A posted on 12th?	Yes, written Answers Posted to Website NLT Date: 8/12/11

## 2<sup>nd</sup> Request for Clarification:

**Question 1:** Section B, page 5—“Implementation of a Web Based Utilities Case Management System to manage all phases of the filing cycle, including applications, complaints, tariffs, certificates, dockets, hearings, order approval workflow with digital signoff, commission meeting scheduling, and agenda management.”

- How many filing types (including applications, tariffs, and certificates)?
- How many complaint types?
- How many docket types?
- How many hearing types?
- How many order types?
- How many meeting types?
- How many agenda types?

**Response:** Filing types: Certified Electric Suppliers, Eligible Energy Resources, Variety of Applications, tariff filings, water and wastewater CPCNs, formal complaints.

Complaint Types: Formal complaints that are initiated by a written filing and informal that can come in by phone, e-mail, letter.

Docket Types: Currently we have seven types of dockets that each have a unique number system. We would like to move to a more general number system that does not identify specific types of dockets.

We think a number system with two digits indicating the year the application was filed, a hyphen, and a four digit field that will be a number that is assigned to dockets as they are filed in chronological order.

Hearing types: We have hearings for complaints, rate cases and other filings but they all have the same general format.

Order types: All orders have the same general format but with varying degrees of detail.

Meeting types: We have commission meetings, public comment sessions, and workshop meetings.

Agenda types: The Commission meetings have formal agendas.

**Question 2:** Section D, page 6, item 4—“Based on pre-determined tasks for each docket type . . .”

- How many docket types are required?

**Response:** See workflows for typical docket tasks. We would like to be able to either directly populate tasks into a generic docket or else modify an existing docket to accommodate an unusual filing.

**Question 3:** Section T, page 20, item 7—“Compatibility and consistency with the State's technical Architecture will minimize potential problem areas relative to interfacing with legacy state systems.”

- Does the proposed product have to interface with specific legacy state systems? How many?
- Identify each required interface and provide the following details for each required interface:
  - a. Is the data exchange to be performed in real time or batch?
  - b. What data exchange mechanism is used (for example, import/export CSV, XML; do any web services or APIs already exist)?
  - c. Is the data exchange bi-directional or one-directional?

**Response:** No legacy interface.

**Question 4:** Section W, page 31, item 44” Provides a Forms and Correspondence Templates Library.”

- For estimation purposes, how many forms/correspondence templates are required?

**Response:** We believe now there would be no more than 25; however, we would like the ability to add templates ourselves if the need arises.

**Question 5:** Section W, page 31, item 46—“Interfaces with social networking sites.”

- Which social networking sites? In what manner must they interface?

**Response:** PSC currently is on Twitter and Facebook. PSC needs the ability to check a box for every document that is filed as to whether it should be linked to Twitter and Facebook.

**Question 6:** Section W, page 32, item 56—“Document management supports unstructured filings.”

- What is an unstructured filing?

**Response:** An unstructured filing is a filing that is not typical (see response to Question 2).

**Question 7:** Section W, page 32, item 57—“Flexibility in docket management software to allow for changes to automatic deadlines.”

- Clarify the request. Do you want to be able to change the deadline, or allow it to be overridden, or what?

**Response:** It should initially populate with the statutory deadline but if those deadlines are extended the initial information should be overridden.

**Question 8:** Section W, page 34, item 91—“System must support digital signature processing method compliant with the State of Delaware statute.”

- Identify the statute to which this requirement refers.

**Response:** System must support digital signatures compliant with Delaware Laws:  
<http://delcode.delaware.gov/title6/c012a/>

**Question 9:** Section W, Page 36, Item 94 reads “Tariff management must include automatic insert of revised pages into tariff and tracking of history of changes.”

- Please detail this process.

**Response:** The existing tariff in electronic form should be loaded into the system. As changes are made to specific pages, these pages should replace the existing and now outdated pages. The outdated pages should be placed in a file in chronological order so a history of the tariff is retained.

**Question 10:** Section W, page 38, item 116—“System should be able to subscribe to external services such as Document Management System, Business Process Modeler, Workflow Engine, and Security Monitor or provide the functionality internally.”

- Does the Delaware PSC currently have any or all of these external services in place? If so, what applications are being used?

**Response:** None at the PSC.

**Question 11:** Section W, page 39, item 123— “The System should be able to provide at least first level response to all filings 24 hours a day.”

- Does this mean that the system must be available and able to accept data input 24 hours a day or that helpdesk support must be available 24 hours a day?

**Response:** The system must be available and able to accept data input 24 hours a day and provide helpdesk support 8-4:30PM EST.

**Question 12:** Section W, page 40, item 130—“System content should not be permanently replicated in order to deliver services.”

- What is meant by this requirement?

**Response:** Only applies if replication is being used in your solution.

**Question 13:** Section W, page 40, item 133—“System should maintain synchronization with hardcopy documents or manual processes.”

- What is meant by this requirement?

**Response:** System should support version control.

**Question 14:** Section W, page 43, item 154—“Every System transaction must generate a transmittal acknowledgement to register the activity.”

- What is meant by this requirement? To whom is the acknowledgement transmitted? How should the acknowledgement be transmitted? What is meant by “registering” the activity?

**Response:** The party making the filing should receive an e-mail acknowledgement. A list should be generated for internal use of all filings and acknowledgements issues.

**Question 15:** Section W, page 43, item 155—“This acknowledgement must be integrated in the Record Management System.”

- Does Record Management System refer to the proposed system or to another system maintained by the Delaware PSC?

**Response:** Record management system refers to the proposed system.

**Question 16:** Section W, page 44, item 168—“The database should provide data migration for the legacy system to the new system.”

- In what type of database tables require conversion (for example, Oracle, Access)?
- Is any of the data requiring conversion stored in spreadsheets as opposed to database tables? If so:
  - a. How many worksheets does each spreadsheet have?
  - b. How many rows and columns does each worksheet have?

**Response:** PSC plans to migrate only a handful of the current documents and input only current/new documents into the new application.

**Question 17:** Section W, page 44, item 169—“The databases to be considered must be set as part of the PSC contract agreements”

- Clarify. What is meant by this requirement? Does this mean that the Delaware PSC retains ownership of the data within the database?

**Response:** Correct PSC retains ownership of the data within the database.

**Question 18:** Section W, page 45, item 174” The System must include a robust Reporting System configurable for preset reports and forms.”

- For estimation purposes, what is the total number of reports required?

**Response:** Around 50.

**Question 19:** Section W, page 53, item 215—“Ability to communicate with registered users: PSC is interested in the ability to communicate information of interest to registered users of the web-based program through broadcast alerts and/or an information section on the home page including the use of social media.”

- What type of social media? How does the Delaware PSC to use the social media?

**Response:** See response to Question 2: When high profile application are filed Staff would like to see a message on Twitter and Facebook with a link to the PSC website to the filed application.

**Question 20:** Section W, page 54, item 231— “Offerer responsible for all user system notifications and alerts.”

Explain. Does this mean the offerer is responsible for providing a mechanism that notifies or alerts users or that the offerer is responsible for creating/implementing specific notifications and alerts anytime at the Delaware PSC’s request?

**Response:** The first meaning is correct: The offerer is responsible for providing a mechanism that notifies or alerts users.

### **3rd Request for Clarification:**

**Question 1:** Section 2-W, page 40, What is estimated size, in MB/GB, of current documents expected to migrate in new system?

**Response:** Only current cases, small portion of Current 3,565MB Db.

**Question 2:** Section 2-W, page 40, A) Is it safe to assume that all documents/case which needs to referenced in future would be moved to new system. B) Is there a back file conversion (technical- sizing to be kept in mind ) and actual conversion effort to be planned ? if so the size of those volume/data/images would help.

**Response:** A) Yes B) Please provide T&M Hourly rate for conversion



**Question 3:** Section 2 – L, Please specify the number of PSC business and external users, who will be using the document management functionality of the requirement system.

**Response:** Internal PSC and Advocate employees (staff <40).

**Question 4:** Section 2-D, Please specify the number of PSC business and external users, who will be using the workflow functionality of the requirement system.

**Response:** Only internal PSC and Advocate employees (staff <40).

**Question 5:** Section 2-L, Please provide number of planned scan stations to meet the State's scanning requirement.

**Response:** One

**Question 6:** Section 2-L, Please specify the number of PSC business users, who will be using the record management functionality of the ECM system.

**Response:** The PSC has 31 employees and 5 Commissioners.

**Question 7:** Section 2-L, What are the different kinds of paper forms that need to be scanned? Are these structured, non-structured forms or documents containing free flowing handwritten text?

**Response:** Primarily computer-produced legal size documents or e-mails.

**Question 8:** Section 2-O, Is there any requirement to interact the system directly with fax server? If yes, please provide details of number of fax server locations, inbound ports and outbound ports

**Response:** Not in phase I.

**Question 9:** Section 2-L, How many documents will be scanned form each scanning location in a month/day? Does state require duplex (both side of the paper) scanning capability?

**Response:** Most documents will be filed electronically. We do not anticipate many hard copy documents. Sometimes these documents are two-sided.

**Question 10:** Section 2-L, Please specify some unique kind/size of documents to be scanned such as A4 size paper, passport, Driving license etc.

**Response:** None

**Question 11:** Section 4-E, The term of the contract between the successful bidder and the State shall be for 3 years with 3 extensions for a period of 1YR for each extension. Please specify if these three years will start post warranty period or from the date we will start the project.

**Response:** The three years start after GO LIVE date.

**Question 12:** Does PSC want the vendor to manage the 1st level Helpdesk or will it be managed by PSC only and then tickets will be transferred to the vendor.

**Response:** 1st level helpdesk will be managed by the State and ticket transferred to vendor, unless vendor wants tickets directly.

**4th Request for Clarification:**

**Question 1:** Pg 27, What is the time period or length of time for the hands-on experience? What are the agency's expectations for this hands-on experience?

**Response:** 2-4 hour demo of application with a follow-up 2-3 days hands-on application sessions.

**Question 2:** Pg 78, The State of Delaware requires that all hardware, system software products, and application software products included in proposals be currently in use in a production environment by a least three other customers, have been in use for at least six months, and have been generally available from the manufacturers for a period of six months. Unreleased or beta test hardware, system software, or application software will not be acceptable.

Please clarify "in production." Does this mean installed as a COTS or out of the box application or does it mean an application that has been customized to meet the client's requirements?

**Response:** Yes, as a COTS or out of the box application, any PSC customization needs to be tested in development before deployed into production.

**Question 3:** Pg 6, An Issue Management Process is part of the service;

**Response:** Vendor solution must provide these capabilities and process flows (duplications, changes, etc...).

**Question 4:** Pg 7, Please clarify unstructured filings and give an example

**Response:** An unstructured filing would be one that is atypical, that doesn't have a statutory deadline and we may have to create a new workflow process to accommodate it.

**Question 5:** Pg 11, Is there a limit on hardware for the project i.e., cost of scanner or scanner copier for any hardcopy conversions, servers, redundant systems or a limit to host requirements?

**Response:** Yes there are budget limitations.

**Question 6:** Pg 90, Please provide more details regarding the following:

1. The technical environment of the legacy cases
2. The Data Model associated with the legacy environment
3. The number of cases to be migrated
4. The number of pages associated with the number of cases or the average number of pages per case.

**Response:** Excel, Access, MS SQL DBs (Only current cases, small portion of Current 3,565MB Db). Please provide T&M Hourly rate for conversion.

**Question 7:** Pg 9, We understand that the State intends to convert the legacy data into the new system. Please clarify the necessity of the above requirement and the nature of integration required for the legacy cases.

**Response:** No integration required.

**Question 1:** Pg 8,

**Response:** Please specify details of the above requirement and provide an example. We assume context sensitive references possible confidential information. Will context sensitive reports be linked to specific Commission Meetings and should these reports have limited access by certain users?

System must provide Role Based Access to information

#### **5th Request for Clarification:**

**Question 1:** Pg 5, How many internal users (PSC employees, state government employees, contractors, and consultants) are expected to have secure and authorized access to the Utility Case Management System throughout the entire year? 40-45 internal users

How many users from external entities will require secure and authorized access throughout the entire year to collaborate with PSC? None

How many users from external entities will require secure and authorized access throughout the workflow of a particular application? None

How much of anonymous access is estimated on the public facing portal to view calendar and public documents per day or week or month? TBD

**Question 2:** Pg5, How many of the following are processed in a year?

- Formal complaints
- Electrical supplier certificate applications
- Water CPCN applications
- Litigated rate case applications
- Invoices

How many cases are docketed in a year?

How many hearings are conducted in a year?

How many documents are currently stored / managed by EZ file in a year?

**Response:** Annually: Formal Complaints—approximately 10, Supplier Certificate Applications—25 to 50, Water CPCN Applications—25 to 50, Wastewater CPCN Applications—15 to 40, Litigated Rate Case Applications—Approx 50, Invoices—1,500 to 2,000, Cases docketed in a year—500-600, Hearings conducted in a year—20 to 30, Documents currently stored by E-Z file-- Only current cases will be imported, small subset of the total 3.5GB DB.

**Question 3:** Pg6, Can you provide some examples on the type of information expected to be interfaced with social networking sites?

**Response:** Notices of significant applications filed and orders issues

**Question 4:** Pg 7, Can you provide additional details on the applicable regulations? Is this a reference to Section 508 accessibility requirements or other PSC operational regulations?

**Response:** Yes Section 508 and any other Federal regulation and State DE regulation such as UETA  
<http://delcode.delaware.gov/title6/c012a/>

**Question 5:** Pg 9, With regard to content hosting/storage within database versus file system, please clarify if you mean all case content or all case content relevant to the execution of process/workflow. When multiple artifacts are involved the document management products (commercial and open source) typically use file system and do not recommend the storage of artifacts as BLOBS in a common database. Please confirm that the case related content (such as attachments/files supplied by the applicant) and any supporting documentation generated by the PSC staff (through scanning or composed using software such as Microsoft Word) can be stored in file system.

**Response:** Yes, case related content can be stored in file system

**Question 6:** Pg 10, What imaging software is currently used? Does the existing imaging software have OCR functionality?

**Response:** EasyFile file: OCR Yes

**Question 7:** Pg 10, Synchronization with hardcopy documents?

**Response:** System must support version control

**Question 8:** Pg 10, System content should be hosted on a common database and not located on a file system

**Response:** Hosting system content in common database and file system consistent with industry best practices

**Question 9:** Statistics for each case category must be maintained and made available to the reporting system

**Response:** We would like to be able to search for and maintain statistics for the following information: Type of filing (complaint, formal docket, correspondence, reports, etc.), date range, company, case manager.

**Question 10:** Is there a record management system currently in use?

**Response:** EasyFile

**Question 11:** Pg 11, Can you provide further details about the legacy system? The details such as software vendor, product name, version number, database format, database version number, etc.

Is the expectation to retire the legacy system upon deploying the new Utility Case Management System?

**Response:** EasyFile by ScanPoint version 6.5.7. PSC plans to import only current cases and phase out legacy system over time.

**Question 12:** Pg 13, Which document management system is currently used? Can we interface with an existing document management system?

**Response:** EasyFile, no interface to legacy system

**Question 13:** Pg 14, A) Is the expectation for vendor to complete the data normalization of legacy data as one-time effort during the implementation of Utility Case Management System?

B) Is the requirement to provide normalization functionality so end users (PSC staff) can import and normalize selective legacy cases on an as-needed basis?

**Response:** A) Yes B) No but definitely preferred

**Question 14:** Pg 17, Is there an existing or preferred PKI vendor?

**Response:** Internally the State's Dept of Technology uses Microsoft.

**Question 15:** Pg 27, Can you describe the duration and expectations from the hands-on trial period? Is the expectation to configure the system with one of the work flow diagrams in Appendix E for the trial period?

**Response:** 2-4 hour demo of application with a follow-up 2-3 days hands-on application sessions.

**Question 16:** Pg 27, Target date for deployment

**Response:** 3/30/2012

**Question 17:** Pg 27-56, Item # 1 through 238, Can you identify the items that would be considered mandatory/minimum without which the state will not accept a proposed utility case management system?

**Response:** These items will be used for the evaluation criteria on page 68 items 1, 2, 5 and 6. RFP requirements are listed on page 57.

**Question 18:** Pg 30, Number of entities/contacts

**Response:** approximately 500-1000

**Question 19:** Pg 31, E-mail software system

**Response:** MS Exchange server, MS Outlook clients

**Question 20:** Pg 32, Can you clarify if the requirement is importing of paper documents or attaching or linking the scanned images of paper documents to the docket record?

**Response:** Linking the scanned images of paper documents to the docket record

**Question 21:** Pg 40, Please clarify/confirm the content based search and filtering does not include attachments and images

**Response:** Yes attachments and images whenever possible will need to be searchable

**Question 22:** Pg 44, Bond or Credit Letter of credit

**Response:** Telecommunications providers are required to include and bond or LOC with certain applications. Currently those documents are filed in a file drawer—we would like to also retain an electronic record.

**Question 23:** Pg 44, Need List with amounts, expiration dates and contact information for applicant

**Response:** We would like to be able to have a list of item 171 that could be sorted by applicant, expiration date of LOC or bond and amount of bond or LOC

**Question 24:** Pg 66 , The final award of a contract is subject to approval by the State of Delaware Can you share any details about the 2011, 2012, and 2103 funding plan and estimated budgets put in place to support the procurement and implementation of a utility case management system?

What is the targeted due date for awarding the contract?

**Response:** The PSC has funding to support the procurement and implementation but not willing to disclose numbers at this point. Target date for Award is 9/30/11.

**Question 25:** Appx. D, Can you provide a preferred month/year for each of the six deliverables?

**Response:** No preference but before target GO LIVE date 3/30/12, TBD by vendor and required project plan.

**Question 26:** Appx. D, Can you provide the magnitude of cases and data expected to be converted? Can you provide the approximate count of legacy electronic documents (public and secure) expected to become accessible through the new Utility Case Management System?

**Response:** The entire EasyFile DB is only 3.5 GB of which we will only import the current 95 open dockets. The following is a list of the number of records in each open docket.

<u>Records</u>	<u>Number of Dockets</u>
0-5	54
6-10	22
11-15	7
16-20	1

Ten dockets have more than 20 records: 950, 55, 556, 196, 203, 90, 28, 33, 43, 53, 426.

The records vary in length from 1 page to 273 pages. The dockets with few records also have fewer pages in the records.

**Question 27:** Can you describe the software names, vendors names, databases version, systems, data records, data formats, file shares, documents, hardware, peripherals, etc. currently used and managed by PSC?

**Response:** EasyFile by ScanPoint, MS SQL, Access, Excel, Word, Adobe PDF, HP Hardware (PCs & Servers).